

12-27-01

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JCS62 U.S. PTO  
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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>	
<i>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</i>	
Attorney Docket No.	V637-02670 US
First Inventor or Application Identifier	Ralph H. Johnson
Title	VERTICAL CAVITY SURFACE EMITTING LASER INCLUDING INDIUM AND ANTIMONY IN THE ACTIVE REGION
Express Mail Label No.	EL597435797US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)		5. <input type="checkbox"/> Microfiche Computer Program (Appendix)	
2. <input checked="" type="checkbox"/> Specification [Total Pages 28] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure		a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies	
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 22]		<b>ACCOMPANYING APPLICATION PARTS</b>	
4. Oath or Declaration [Total Pages 2] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. § 1.63(d)(2) and 1.33(b).		7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Citations 11. <input type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 13. <input type="checkbox"/> Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input checked="" type="checkbox"/> Other: Certificate of Mailing	
* NOTE FOR ITEMS 1 & 3: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.29b).			


16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

<b>17. CORRESPONDENCE ADDRESS</b>					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label  or <input type="checkbox"/> Correspondence address below					
(Insert Customer Number or Bar Code label here)					
Name <b>Andrew A. Abeysa 128</b>					
Honeywell International Inc.					
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Name (Print/Type)	Andrew A. Abeysa	Registration No. (Attorney/Agent)	39,582
Signature		Date	Dec. 20, 2001

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# FEE TRANSMITTAL For FY 2001

Patent fees are subject to annual revision.

## COMPLETE IF KNOWN

Application No.	T.B.D.
Filing Date	December 20, 2001
First Named Inventor	Ralph H. Johnson
Group Art Unit	T.B.D.
Examiner Name	T.B.D.
Attorney Docket No.	V637-02670 US

**TOTAL AMOUNT OF PAYMENT** \$1,194.00

### METHOD OF PAYMENT (check one)

☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **01-1125**

Deposit Account Name **Honeywell International Inc.**

☒ Charge any Additional Fee Required Under 37 CFR §§1.16 & 1.17

2. **Payment Enclosed:**  
☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101	740	201 370 Utility Filing Fee	740
106	330	206 165 Design Filing Fee	
107	510	207 255 Plant Filing Fee	
109	740	208 370 Reissue Filing Fee	
114	160	214 80 Provisional Filing Fee	
<b>SUBTOTAL (1)</b>			<b>\$740.00</b>

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
43	23	18.00	21.6
Independent Claims	3	8.00	0.0
Multiple Dependent Claims	0	280.00	0.0

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
103	18	203 9 Claims in excess of 20	
102	84	202 42 independent claims in excess of 3	
104	280	204 140 Multiple dependent claim	
109	84	209 42 Reissue independent claims over original patent	
110	18	210 9 Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>			<b>\$414.00</b>

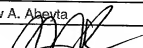
### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	130	205 85 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,250 For filing a request for <i>ex parte</i> reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	400	216 200 Extension for reply within second month	
117	920	217 460 Extension for reply within third month	
118	1,440	218 720 Extension for reply within fourth month	
128	1,960	228 980 Extension for reply within fifth month	
119	320	219 160 Notice of Appeal	
120	320	220 160 Filing a brief in support of an appeal	
121	280	221 140 Request for oral hearing	
138	1,510	138 1,150 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,280	241 640 Petition to revive - unintentional	
142	1,280	242 640 Utility issue fee (or reissue)	
143	460	243 230 Design issue fee	
144	620	244 310 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Statement	
581	40	581 40 Recording each patent assignment per property (times number of properties)	40
146	740	246 370 Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249 370 For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279 3370 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
195	300	195 300 Publication fee	
Other fee (specify) _____			
<b>SUBTOTAL (3)</b>			<b>\$40.00</b>

\* Reduced by Basic Filing Fee Paid

### SUBMITTED BY

Name (Print / Type)	Andrew A. Abouta	Registration No. (Attorney/Agent)	39,582	Complete (if applicable)	
Signature				Telephone	602-313-3345
				Date	December 20, 2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Docket No. V637 02670 US

Serial No. t. b. d.

Filed December 20, 2001

## Certificate of Mailing under 37 CFR 1.10

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\_\_\_\_\_  
Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Utility Patent Application Transmittal;
2. Fee Transmittal for FY 2001, two copies;
3. Patent Application, twenty-eight pages;
4. Formal drawings, twenty-two pages;
5. Declaration for Utility or Design Patent Application, two pages;
6. Recordation Form Cover Sheet, two pages;
7. Assignment, one page;
8. Certificate of Mailing;
9. Return post card.

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